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Control of Purchased Products and Services

Quality Implementing Procedure ID:
OSTI-LLNL-QIP-7.0, Rev.0, Mod.0

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March 10, 2005

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This work was performed under the auspices of the U.S. Department of Energy by University of California, Lawrence Livermore National Laboratory under Contract W-7405-Eng-48.



CONTROL OF PURCHASED PRODUCTS AND SERVICES

Quality Implementing Procedure ID: OSTI-LLNL-QIP-7.0, Rev. 0, Mod. 0

Effective: 2/25/05

1. PURPOSE

This Quality Implementing Procedure (QIP) establishes the responsibilities and methods for determining the acceptability and documenting the acceptance of products and services procured by the Office of Science & Technology and International (OSTI)-Lawrence Livermore National Laboratory (LLNL) Project.

2. SCOPE

This procedure applies to those individuals who determine the acceptability and document the acceptance of OSTI-LLNL procured quality-related (Q) products or services purchased in accordance with OSTI-LLNL-QIP-4.0, *Procurement Document Control*, that are subject to the requirements of the OSTI-LLNL Quality Assurance Plan (QAP) which implements the U.S. Department of Energy (DOE) Office of Civilian Radioactive Waste Management (OCRWM) *Quality Assurance Requirements and Description* (QARD), DOE/RW-0333P. This QIP has been prepared in accordance with OSTI-LLNL-QIP-5.0, *Preparing the Quality Assurance Plan and Quality/Technical Implementing Procedures*.

As mentioned in OSTI-LLNL-QIP-4.0, the OSTI-LLNL Project does not purchase Q items. As such, this procedure only describes actions required for acceptance of Q products/services.

3. PROCEDURE

3.1 Acceptance of Services and Supplier Document Submittal

Supplier submittals in support of scientific investigations shall be tracked, reviewed, and approved in accordance with the following process.

3.1.1 Acceptance of Services for Scientific Investigations

The **Requestor** shall be responsible for (or assign a scientific staff member knowledgeable of the specifications and Procurement Document requirements to be responsible for) completion of the review, and for approval and acceptance of the requested documents submitted by the Supplier.

- A. The **Requestor** (or designee) shall review the Supplier submittals with primary emphasis on overall quality of the document and the following:

1. Verify that the Supplier submittal and quality verification documentation meets the requirements specified in the Procurement Document.
 2. Coordinate with the Procurement Coordinator to return Supplier submittals with comments to the Supplier for resolution.
 3. Resolve any outstanding deficiencies or nonconformances affecting the acceptance of the documentation or service.
 4. Review Supplier submittals and complete the Acceptance Report for Scientific Investigations, Attachment 1, prior to use of the Supplier information. This form is an example only and may not list all the Procurement Document requirements that need to be verified and documented.
- B. For samples associated with a scientific investigation, prepare an Acceptance Report to document the acceptance of the samples. The Acceptance Report will contain sufficient information as to:
1. Maintain traceability to the Procurement Document.
 2. When required, maintain traceability to a material specification, lot number, batch number, sample number, etc.
 3. Verify condition of the sample being received and include a brief statement accepting or rejecting the condition.
 4. Provide a statement that there are no outstanding deficiencies or nonconformances affecting the acceptance of the sample.
 5. Include name, date, and signature of the person responsible for preparing the Acceptance Report.

3.1.2 Supplier Document Submittal

- A. The **Requestor** (or Designee) shall submit approved Supplier submittals, including quality verification documents, analytical results, sample plans, evaluation documentation, Acceptance Report, etc., to the Procurement Coordinator for tracking and the Records Coordinator for maintenance in accordance with Section 4.0 of this procedure.
- B. The **Requestor** (or Designee) shall submit documentation associated with calibration to the Measuring and Testing Equipment (M&TE) Coordinator for tracking and the Records Coordinator for maintenance in accordance with Section 4.0 of the procedure.

3.2 Acceptance of Calibration Services

PI (or Designee):

Prior to release of the M&TE for use, complete the¹ Acceptance Report⁶ for Calibration Services, (Attachment 2) including the Supplier's name, location, the Purchase Order number, and/or work instructions (Attachment 2, Items 1 and 2).

- A. Verify and document that the M&TE is properly identified, tagged, or otherwise marked in a manner traceable to its calibration documentation (Attachment 2, Item 3).
- B. Verify and document that the M&TE are clean, undamaged from shipping, properly handled, and properly configured (Attachment 2, Item 4).
- C. Verify that the Supplier-generated objective evidence of calibration (e.g., calibration certificates, data, or reports) has been evaluated in accordance with the Procurement Document requirements (Attachment 2, Items 5 through 14).
- D. Before finalizing the acceptance form, verify that there are no unresolved Out of Calibration Conditions (as defined in OST-LLNL-QIP-12.0) associated with Calibration Reports to be accepted. If any Out of Calibration Reports (OCRs) have been issued, include note with reference to relevant OCR numbers in the Comments section of the Acceptance Report form (Attachment 2).
- E. Resolve all deficiencies found with the Supplier, so that all questions listed on the Acceptance Report form can be answered "yes," unless they are "N/A." If a deficiency cannot be resolved, resulting in a no answer, provide the deficiency document number in the Comments section of the Acceptance Report form (Attachment 2) .
- F. Indicate if the Acceptance Report is partial or complete by checking the appropriate box. (If the Procurement Document is such that it will consist of several calibration reports for acceptance, all Acceptance Reports must indicate "partial" until the final calibration report for release or the subcontract has been received. The final Acceptance Report shall indicate "complete.")
- G. Provide a link from each Calibration Report to the Acceptance Report by providing a unique identifier from the Calibration Report (e.g., calibration report number or serial numbers) in the Comments section of the Acceptance Report form, to indicate the scope of the Acceptance Report.
- H. Print name, sign and date the Acceptance Report.
- I. Ensure that the completed quality verification documents, (i.e., Acceptance Report, corresponding certifications, and pertinent information) are transmitted to the M&TE Coordinator for tracking and the Records Coordinator for maintenance in accordance with Section 4.0.

4. RECORDS

The records listed in Sections 4.1 and 4.2 shall be collected and submitted to the Records Coordinator for maintenance in accordance with OSTI-LLNL-QIP-17.0, *Records Management* as individual records or included in a records package, as specified.

4.1 QA Records

Individual

Acceptance Report for Scientific Investigations
Acceptance Report for Calibration Services

4.2 Non-QA Long-Term Records

None.

4.3 Non-QA Short Term Records (three years or less retention)

None.

5. RESPONSIBILITIES

5.1 The **Requestor** (or designee) is responsible for reviewing Supplier documentation for compliance with Procurement Document requirements, and accepting products/services prior to using the procured product/service.

5.2 The **PI** (or designee) is responsible for completing the Acceptance Report for Calibration Services prior to release of the M&TE for use.

6. ACRONYMS AND DEFINITIONS

6.1 Acronyms

DOE	U.S. Department of Energy
LLNL	Lawrence Livermore National Laboratory
M&TE	Measuring and Test Equipment
OCR	Out of Calibration Report
OCRWM	Office of Civilian Radioactive Waste Management
OSTI	Office of Science & Technology and International
PI	Principal Investigator
PM	Project Manager
Q	Quality
QA	Quality Assurance
QAP	Quality Assurance Plan
QARD	Quality Assurance Requirements and Description
QIP	Quality Implementing Procedure
RC	Records Center

6.2 Definitions

M&TE Coordinator: A person assigned by the Project Manager (PM) to track and control M&TE.

Source: Supplier's location where an activity is observed and/or documentation is reviewed.

Verification: The act of reviewing, inspecting, testing, checking, auditing, or otherwise determining and documenting whether products, services, or documents conform to specified requirements.

7. REFERENCES

DOE/RW-0333P, *Quality Assurance Requirements and Description*

OSTI-LLNL-QIP-4.0, *Procurement Document Control*

OSTI-LLNL-QIP-5.0, *Preparing the Quality Assurance Plan and Quality/Technical Implementing Procedures*

OSTI-LLNL-QIP-6.0, *Controlled Documents*

OSTI-LLNL-QIP-12.0 *Control of Measuring and Test Equipment and Calibration Standards*

OSTI-LLNL-QIP -17.0, *Records Management*

8. ATTACHMENTS

Attachment 1 - Acceptance Report for Scientific Investigations


Attachment 2 - Acceptance Report for Calibration Services

9. REVISION HISTORY

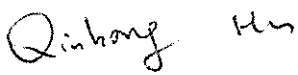
2/25/05 Revision 0, Modification 0

Initial issue.

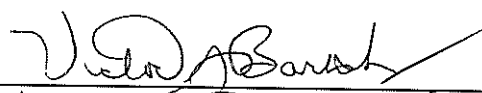
10. APPROVALS


Preparer: Leigh Gouveia

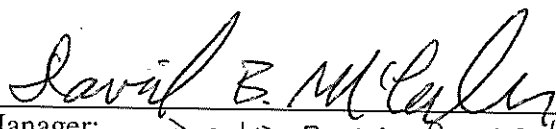
2/25/05
Date:


Technical Reviewer: QINHONG HU

2/25/05
Date:


QA Reviewer: VICTOR J. BARISH JR

2/25/05
Date:


Project Manager: DAVID B. MCCLEN

2/25/05
Date:

QA: QA

OSTI-LLNL

Acceptance Report for Scientific Investigations

Complete only applicable items.

PD No.

Supplier Name

☐ Complete☐ Partial

Acceptable

Yes

No

N/A

Acceptance Criteria for Scientific Investigations

1. Purchase Order number and/or subcontract number
2. The Supplier's Name and Location
3. Identification of the Supplier's individual performing or approving the service documentation (title) and date
4. A statement of conformance certifying the service performed meets the requirements specified in the procurement document
5. A statement that the service was performed to the Supplier QA Program and Revision specified in the procurement document
6. Source verification complete (attach if applicable)
7. Source acceptance
8. Other acceptance criteria specified in the procurement document
9. All supporting documentation attached? If no, explain why in the comments section.
- 10.
- 11.
- 12.
- 13.
- 14.
- 15.

Comments

Accepted By (Printed Name)

Signature

Date

OSTI-LLNL				QA: QA
Acceptance Report for Calibration Services				
<i>Complete only applicable items.</i>				
PD No.		Supplier Name		<input type="checkbox"/> Complete <input type="checkbox"/> Partial
Acceptable			Certificate of Calibration Acceptance Criteria	
Yes	No	N/A		
			1. Purchase Order number and/or work instructions, if applicable	
			2. The Supplier's Name and Location	
			3. Unique identification of the calibrated instrument, including marking and/or tagging	
			4. Was instrument received clean and undamaged	
			5. Identification of the calibration standard used and Statement of Traceability to National Institute of Standards and Technology or other recognized Standards	
			6. Identification of the Individual performing or approving the calibration (title) and date	
			7. A statement certifying the results of the calibration	
			8. Identification of the procedure(s), including revision level used in performing the calibration(s)	
			9. Supplier QA Program and revision	
			10. Instrument name/model	
			11. Calibration data as specified in the Purchase Order	
			12. Date of calibration and re-calibration due date and/or interval	
			13. As found and as left conditions, as applicable	
			14. Environmental conditions, as applicable	
			15. Verify there are no outstanding deficiencies or nonconformances acceptance	
			16. Other	
Comments				
Accepted By (Printed Name)		Signature		Date